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PATENT  
Attorney Docket No.: AVARS-02500

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Michael J. Lloyd et al.

Serial No.: 10/070,515

Filed: July 25, 2002

For: **METHOD AND APPARATUS FOR  
ASSESSMENT AND  
OPTIMIZATION OF NETWORK  
TRAFFIC**

) Group Art Unit: 2661

) Examiner:

) **TRANSMITTAL LETTER**

) 162 N. Wolfe Road  
) Sunnyvale, CA 94086  
) (408) 530-9700

) Customer No.: 28960

MS: Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313

Sir:


Enclosed please find a Supplemental Information Disclosure Statement, and Form PTO-1449, including copies of the references contained thereon, for filing in the U.S. Patent and Trademark Office.

You will also find enclosed the associated Transmittals, Electronic Information Disclosure Statements, and United States Patent and Trademark Office Acknowledgment Receipts for the electronically filed Information Disclosure Statement (EFS ID #80748) and (EFS ID #80750) filed on March 24, 2005.

The Commissioner is hereby authorized to charge any additional fee or credit overpayment to our Deposit Account No. 08-1275. **An originally executed duplicate of this transmittal is enclosed for this purpose.**

Respectfully submitted,  
HAVERSTOCK & OWENS LLP

Dated: 3-25-05

By   
Thomas B. Haverstock  
Reg. No.: 32,571

Attorneys for Applicants

CERTIFICATE OF MAILING (37 CFR § 1.8(a))

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HAVERSTOCK & OWENS LLP.  
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Filed: July 25, 2002	)	162 N. Wolfe Road
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<b>ASSESSMENT AND</b>	)	(408) 530-9700
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Date: 3-25-05 By: [Signature]



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In re Application of:	)	Group Art Unit: 2661
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Michael J. Lloyd et al.	)	Examiner:
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Serial No.: 10/070,515	)	<b><u>SUPPLEMENTAL INFORMATION</u></b>
	)	<b><u>DISCLOSURE STATEMENT</u></b>
	)	
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Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

The citations listed below, copies attached, may be material to the examination of the above-identified application, and are therefore submitted in compliance with the duty of disclosure defined in 37 C.F.R. §§ 1.56 and 1.97. The Examiner is requested to make these citations of official record in this application.

United States Patents or Published Patent Applications have been filed electronically (EFS ID #80748) and (EFS ID #80750). Applicants have become aware of the following printed publication which may be material to the examination of this application:

- European Publication No. EP 0 528 075 A1;
- European Publication No. EP 0 598 969 B1;
- European Publication No. EP 0 788 267 A2;
- European Publication No. EP 0 942 560 A2;
- European Publication No. EP 0 977 456 A2;
- European Publication No. EP 0 982 901 A1;
- European Publication No. EP 0 999 674 A1;
- PCT Publication No. WO 94/08415;
- PCT Publication No. WO 99/06913;

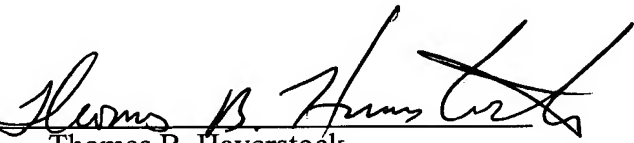
- PCT Publication No. WO 99/14907;
- PCT Publication No. WO 99/14931;
- PCT Publication No. WO 99/14932;
- PCT Publication No. WO 99/18751;
- PCT Publication No. WO 99/30460;
- PCT Publication No. WO 99/39481;
- PCT Publication No. WO 00/04458;
- PCT Publication No. WO 00/25224;
- PCT Publication No. WO 00/45560;
- PCT Publication No. WO 00/52906;
- PCT Publication No. WO 00/62489;
- PCT Publication No. WO 00/72528 A1;
- PCT Publication No. WO 00/79362 A2;
- PCT Publication No. WO 00/79730 A2;
- PCT Publication No. WO 01/06717 A1;
- PCT Publication No. WO 01/13585 A1;
- PCT Publication No. WO 02/033896 A3;
- Z. Wang et al., "Resource Allocation for Elastic Traffic: Architecture and Mechanisms," Conference Proceedings Article, 2000, XP010376681, pages 159-169;
- J. Yu, "Scalable Routing Design Principles," Ref. No. RFC 2791, Network Working Group, July 31, 2000, pages 1-26;
- Paul Francis et al., "An Architecture for a Global Internet Host Distance Estimation Service," pages 1-17;
- T. Bates et al., "Multiprotocol Extensions for BGP-4", XP-00219077, June 2000, ppg. 1-10;
- S. Kumar et al., "The MASC/BGMP Architecture for Inter-domain Multicast Routing," 12 pages;
- S. Berson et al., "An Architecture for Advance Reservations in the Internet," USC Information Sciences Institute, July 16, 1998, pages 1-21;
- R. P. Draves et al., "Constructing Optimal IP Routing Tables," 1999 IEEE, 1-10;
- R. Govindan et al., "An Analysis of Internet Inter-Domain Topology and Route Stability," USC Information Sciences Institute, 1997 IEEE, 8 pages;

- V. Paxson, "Toward a Framework for Defining Internet Performance Metrics," [http://www.isoc.org/inet96/proceedings/d3/d3\\_3.htm](http://www.isoc.org/inet96/proceedings/d3/d3_3.htm), pages 1-20;
- C. Alaettinoglu et al. "Routing Policy Specification Language (RPSL)," <http://quimby.gnus.org/internet-drafts/draft-ietf-rps-rpsl-v2-00.txt>, pages 1-56;
- P. Traina, "BGP-4 Protocol Analysis," March 1995, pages 1-10;
- B. Krishnamurthy et al., "On Network-Aware Clustering of Web Clients," 14 pages;
- Sami Iren et al., "The Transport Layer: Tutorial and Survey", XP-002210446, ACM Computing Surveys, Vol. 31, No. 4, December 1999, pages. 360-405; and
- D. B. Ingham et al., "Supporting Highly Manageable Web Services", Computer Networks and ISDN Systems 29 (1997), pages. 1405-1416.

This Supplemental Information Disclosure Statement under 37 C.F.R. §§ 1.56 and 1.97 is not to be construed as a representation that a search has been made, that additional information material to the examination of this application does not exist, or that anyone or more of these citations constitutes prior art.

Respectfully submitted,  
HAVERSTOCK & OWENS LLP

Dated: 3-25-05

By:   
Thomas B. Haverstock  
Reg. No.: 32,571

Attorneys for Applicants

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HAVERSTOCK & OWENS LLP.  
Date: 3-25-05 By: 

FORM PTO-1449  
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Patent and Trademark Office

Attorney Docket No.: AVARS-02500

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## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use Several Sheets If Necessary)

Applicants: Michael J. Lloyd et al.

(37 CFR § 1.98(b))

Filing Date: July 25, 2002

Group Art Unit: 2661

## FOREIGN PATENTS OR PUBLISHED FOREIGN PATENT APPLICATIONS

		Document Number	Publication Date	Country / Patent Office	Class	Subclass	Translation	
							Yes	No
	AA	EP 0 528 075 A1	02/24/93	EP	H04L	12/26		X
	AB	EP 0 598 969 B1	02/10/99	EP	H04L	12/18		X
	AC	EP 0 788 267 A2	08/06/97	EP	H04L	29/06		X
	AD	EP 0 942 560 A2	09/15/99	EP	H04L	12/64		X
	AE	EP 0 977 456 A2	02/02/00	EP	H04Q	11/04		X
	AF	EP 0 982 901 A1	01/03/00	EP	H04L	12/56		X
	AG	EP 0 999 674 A1	04/28/04	EP	H04L	12/64		X
	AH	WO 94/08415	04/14/94	PCT	H04L	12/66		X
	AI	WO 99/06913	02/11/99	PCT	G06F	13/00		X
	AJ	WO 99/14907	03/25/99	PCT	H04L	12/56		X
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	AL	WO 99/14932	03/25/99	PCT	H04M	7/00		X
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	AN	WO 99/30460	06/17/99	PCT	H04L	12/00		X
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	AY	WO 01/13585 A1	02/22/01	PCT	H04L	12/46		X
	AZ	WO 02/033896 A3	04/25/02	PCT	H04L	12/56		X
	BA							
	BB							

## OTHER DOCUMENTS (Including Author, Title, Date, Relevant Pages, Place of Publication)

BC	Z. Wang et al., "Resource Allocation for Elastic Traffic: Architecture and Mechanisms," Conference Proceedings Article, 2000, XP010376681, pages 159-169.
BD	J. Yu, "Scalable Routing Design Principles," Ref. No. RFC 2791, Network Working Group, July 31, 2000, pages 1-26.
BE	Paul Francis et al., "An Architecture for a Global Internet Host Distance Estimation Service," pages 1-17.
BF	T. Bates et al., "Multiprotocol Extensions for BGP-4", XP-00219077, June 2000, ppg. 1-10.
BG	S. Kumar et al., "The MASC/BGMP Architecture for Inter-domain Multicast Routing," 12 pages.

Examiner:

Date Considered:

EXAMINER:

Initial citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

FORM PTO-1449  
(Modified)U.S. Department of Commerce  
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**OTHER DOCUMENTS (Including Author, Title, Date, Relevant Pages, Place of Publication)**

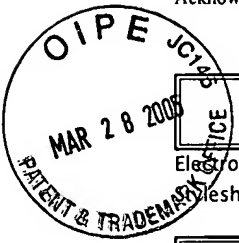
BH	S. Berson et al., "An Architecture for Advance Reservations in the Internet," USC Information Sciences Institute, July 16, 1998, pages 1-21.
BI	R. P. Draves et al., "Constructing Optimal IP Routing Tables," 1999 IEEE, 1-10.
BJ	R. Govindan et al., "An Analysis of Internet Inter-Domain Topology and Route Stability," USC Information Sciences Institute, 1997 IEEE, 8 pages.
BK	V. Paxson, "Toward a Framework for Defining Internet Performance Metrics," <a href="http://www.isoc.org/inet96/proceedings/d3/d3_3.htm">http://www.isoc.org/inet96/proceedings/d3/d3_3.htm</a> , pages 1-20.
BL	C. Alaettinoglu et al. "Routing Policy Specification Language (RPSL)," <a href="http://quimby.gnus.org/internet-drafts/draft-ietf-rps-rpsl-v2-00.txt">http://quimby.gnus.org/internet-drafts/draft-ietf-rps-rpsl-v2-00.txt</a> , pages 1-56.
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ACKNOWLEDGEMENT RECEIPT

Electronic Version 1.1

Worksheet Version v1.1.1

Title of Invention	METHOD AND APPARATUS FOR ASSESSMENT AND OPTIMIZATION OF NETWORK TRAFFIC									
Submission Type:	Information Disclosure Statement									
Application Number:	10/070515	*10/070515*								
EFS ID:	80748									
Server Response:	<table border="1"> <thead> <tr> <th>Confirmation Code</th> <th>Message</th> </tr> </thead> <tbody> <tr> <td>ISVR1</td> <td>Submission was successfully submitted - Even if Informational or Warning Messages appear below, please do not resubmit this application</td> </tr> <tr> <td>ICON1</td> <td>6824</td> </tr> <tr> <td>USPTOEFSNotice</td> <td>For assistance with e-filing a patent application, contact the Patent Electronic Business Center: Toll-Free Number: 1(866) 217-9197 Website: <a href="http://www.uspto.gov/ebc/">http://www.uspto.gov/ebc/</a></td> </tr> </tbody> </table>		Confirmation Code	Message	ISVR1	Submission was successfully submitted - Even if Informational or Warning Messages appear below, please do not resubmit this application	ICON1	6824	USPTOEFSNotice	For assistance with e-filing a patent application, contact the Patent Electronic Business Center: Toll-Free Number: 1(866) 217-9197 Website: <a href="http://www.uspto.gov/ebc/">http://www.uspto.gov/ebc/</a>
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First Named Applicant:	Michael Lloyd									
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<b>Title of Invention</b>	<b>METHOD AND APPARATUS FOR ASSESSMENT AND OPTIMIZATION OF NETWORK TRAFFIC</b>						
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<b>Date:</b>	2002-07-25						
<b>First Named Applicant:</b>	Michael J. Lloyd						
<b>Confirmation Number:</b>	6824						
<b>Attorney Docket Number:</b>							
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Submitted by:	Elec. Sign.	Sign. Capacity					
Thomas B. Haverstock Registered Number: 32571	/tbh/	Attorney					

Documents being submitted	Files
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<b>Comments</b>	

## ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v1.8

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Application Number:	10/070515 *10/070515*						
Confirmation Number:	6824						
First Named Applicant:	Michael Lloyd						
Attorney Docket Number:							
Search string:	( 4284852 or 4345116 or 4495570 or 4594704 or 4669113 or 4704724 or 4726017 or 4748658 or 4788721 or 4839798 or 4920432 or 4931941 or 4939726 or 4949187 or 4949248 or 5142570 or 5172413 or 5253341 or 5287537 or 5291554 or 5341477 or 5371532 or 5375070 or 5406502 or 5410343 or 5414455 or 5442389 or 5442390 or 5442749 or 5452294 or 5471622 or 5475615 or 5477536 or 5508732 or 5515511 or 5519435 or 5521591 or 5528281 or 5535195 or 5563875 or 5629930 or 5631897 or 5636216 or 5668800 or 5675741 or 5754639 or 5793976 or 5802106 ).pn.						
US Patent Documents							
Note: Applicant is not required to submit a paper copy of cited US Patent Documents							
init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass
	1	4284852	1981-08-18	Szybicki et al.			
	2	4345116	1982-08-17	Ash et al.			
	3	4495570	1985-01-22	Kitajima et al.			
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35	5515511	1996-05-07	Nguyen et al.
36	5519435	1996-05-21	Anderson
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43	5636216	1997-06-03	Fox et al.
44	5668800	1997-09-16	Stevenson
45	5675741	1997-10-07	Aggarwal et al.
46	5754639	1998-05-19	Flockhart et al.
47	5793976	1998-08-11	Chen et al.
48	5802106	1998-09-01	Packer

Signature

Examiner Name	Date

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Electronic Version 1.1

Stylesheet Version v1.1.1

Title of Invention		METHOD AND APPARATUS FOR ASSESSMENT AND OPTIMIZATION OF NETWORK TRAFFIC									
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Application Number:		10/070515	*10/070515*								
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First Named Applicant:		Michael Lloyd									
Attorney Docket Number:											
Timestamp:		2005-03-24 13:28:42 EDT									
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us-ids	AVARS_02500B-usidst.xml	6138
us-ids	us-ids.dtd	7763
us-ids	us-ids.xsl	12026
package-data	AVARS_02500B-pkda.xml	1721
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package-data	us-package-data.xsl	19263
Total files size		73936

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Electronic Version v1.1 Stylesheet Version v1.1.0							
<b>Title of Invention</b>	<b>METHOD AND APPARATUS FOR ASSESSMENT AND OPTIMIZATION OF NETWORK TRAFFIC</b>						
Application Number:	10/070515 *10/070515*						
Date:	2002-07-25						
First Named Applicant:	Michael J. Lloyd						
Confirmation Number:	6824						
Attorney Docket Number:							
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<table border="1"><thead><tr><th>Submitted by:</th><th>Elec. Sign.</th><th>Sign. Capacity</th></tr></thead><tbody><tr><td>Thomas B. Haverstock Registered Number: 32571</td><td>/tbh/</td><td>Attorney</td></tr></tbody></table>		Submitted by:	Elec. Sign.	Sign. Capacity	Thomas B. Haverstock Registered Number: 32571	/tbh/	Attorney
Submitted by:	Elec. Sign.	Sign. Capacity					
Thomas B. Haverstock Registered Number: 32571	/tbh/	Attorney					

Documents being submitted	Files
us-ids	AVARS_02500B-usidst.xml us-ids.dtd us-ids.xsl
<b>Comments</b>	

## ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v18  
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Title of Invention	METHOD AND APPARATUS FOR ASSESSMENT AND OPTIMIZATION OF NETWORK TRAFFIC						
Application Number:	10/070515 *10/070515*						
Confirmation Number:	6824						
First Named Applicant:	Michael Lloyd						
Attorney Docket Number:							
Search string:	( 5805594 or 5835710 or 5845091 or 5974457 or 6006264 or 6009081 or 6026411 or 6069889 or 6108703 or 6111881 or 6119235 or 6130890 or 6167052 or 6173324 or 6282562 or 6286045 or 6339595 or 6341309 or 6415323 or 6526056 or 6601098 or 6608841 or 6611872 or 6625648 or 6631419 or 6633640 or 6714549 or 6748426 or 6766381 or 20010037311 or 20020038331 or 20020124100 or 20030016770 ).pn.						
<b>US Patent Documents</b>							
Note: Applicant is not required to submit a paper copy of cited US Patent Documents							
Init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass
	1	5805594	1998-09-08	Kotchey et al.			
	2	5835710	1998-11-10	Nagami et al.			
	3	5845091	1998-12-01	Dunne et al.			
	4	5974457	1999-10-26	Waclawsky et al.			
	5	6006264	1999-12-21	Colby et al.			
	6	6009081	1999-12-28	Wheeler et al.			
	7	6026411	2000-02-15	Ronen			
	8	6069889	2000-05-30	Feldman et al.			
	9	6108703	2000-08-22	Leighton et al.			
	10	6111881	2000-08-29	Soncodi			

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	11	6119235	2000-09-12	Vald et al.	
	12	6130890	2000-10-10	Leinwand et al.	
	13	6167052	2000-12-26	McNeill et al.	
	14	6173324	2001-01-09	D'Souza	B1
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	16	6286045	2001-09-04	Griffiths et al.	B1
	17	6339595	2002-01-15	Rekhter et al.	B1
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	23	6611872	2003-08-26	McCanne	B1
	24	6625648	2003-09-23	Schwaller et al.	B1
	25	6631419	2003-10-07	Greene	B1
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	27	6714549	2004-03-30	Phaitankar	B1
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	29	6766381	2004-07-20	Barker et al.	B1

## US Published Applications

Note: Applicant is not required to submit a paper copy of cited US Published Applications

Init	Cite.No.	Pub. No.	Date	Applicant	Kind	Class	Subclass
	1	20010037311	2001-11-01	McCoy et al.	A1		
	2	20020038331	2002-03-28	Flavin	A1		
	3	20020124100	2002-09-05	Adams	A1		
	4	20030016770	2003-01-23	Trans et al.			

Signature

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Examiner Name	Date